

# **INTERNAL MANAGEMENT POLICY & PROCEDURES**

## **STATEMENT OF ANNUAL REVIEW**

**IMPP        # 05-167**

**Title:        INFORMATION TECHNOLOGY AND RECORDS: Electronic  
Records Management and Preservation**

The above referenced Internal Management Policy and Procedure (IMPP), issued effective 09-21-02, was reviewed during January 2004 by the KDOC Policy Review Panel, per IMPP 01-101. At the time of this annual review, the Policy Review Panel determined that: no substantive changes and/or modifications to this IMPP are necessary at this time, and the IMPP shall remain in effect as issued on the above stated date.

**The next scheduled review for this IMPP is January 2005.**

**This statement of annual review shall be placed in front of the referenced IMPP in all manuals.**

\_\_\_\_\_  
Norman Bacon, IT Acting Director  
Policy Review Committee Chairperson

\_\_\_\_\_  
Date

\_\_\_\_\_  
Roger Werholtz, Secretary of Corrections

~~02-03-04~~\_\_\_\_\_  
Date

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\_\_\_\_\_  
Carlos Usera, Information Resource Manager  
Policy Review Committee Chairperson

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Date

\_\_\_\_\_  
Roger Werholtz, Secretary of Corrections

01-31-03  
\_\_\_\_\_  
Date

## KANSAS DEPARTMENT OF CORRECTIONS

	<b>INTERNAL MANAGEMENT  POLICY AND PROCEDURE</b>	<b>SECTION NUMBER</b>  05-167	<b>PAGE NUMBER</b>  1 of 4
		<b>SUBJECT:</b>  <b>INFORMATION TECHNOLOGY AND RECORDS: Electronic Records Management and Preservation</b>	
<b>Approved By:</b>       <b>Secretary of Corrections</b>		<b>Original Date Issued:</b> N/A	
		<b>Current Amendment Effective:</b> 09-21-02	
		<b>Replaces Amendment Issued:</b> N/A	

### **POLICY**

The Department of Corrections shall maintain accountability and preserve important historical records in an electronic environment. All facilities and offices will take the appropriate measures to:

- ❖ Maintain ongoing accessibility of records throughout their period of retention
- ❖ Apply retention schedules to electronic records
- ❖ Manage access to department records in a manner that ensures public access rights protecting staff and offender confidentiality
- ❖ Address record keeping considerations in the system planning and development stages
- ❖ Ensure the reliability and authenticity of records throughout their retention period.

### **DEFINITIONS**

Government Record (KSA 45-402(d)): "Government record means all volumes, documents, reports, maps, drawings, charts, indexes, plans memoranda, sound recordings, microfilms, photographic records and other data, information or documentary material, regardless of physical form or characteristics, storage media or condition of use, made or received by an agency in pursuance of law or in connection with the transaction of official business or bearing on the official activities and functions of any governmental agency. Published material acquired and preserved solely for reference purposes, and stocks of publications, blank forms and duplicated documents are not included within the definition of government records."

### **PROCEDURES**

#### **I. Information Management Policies**

- A. All offices and facilities shall maintain ongoing accessibility of records throughout their period of retention.
- B. All records sections shall take measures to ensure that records are being maintained in accordance with the appropriate retention schedules.
- C. All electronic records shall be handled in accordance with policies defined in IMPP 05-101, 05-102, 05-103, 05-104, 05-105, 05-106, 05-107, 05-108 to ensure confidentiality and protection of privacy.

## **II. Responsibilities**

- A. System Management Team:
  - 1. Shall address record keeping considerations in the planning and development phases of systems.
  - 2. Shall include the below information on the bottom of all forms produced by any office in the Department:
    - a. Form Number
    - b. Electronic Records code (if applicable)
    - c. Retention instructions.
  - 3. Shall institute measures to ensure the reliability and authenticity of records under its control during the retention period.
- B. Records System Manager:
  - 1. Serves as the Records Custodian for the Department of Corrections.
  - 2. Maintain and update the department's record retention schedule.
  - 3. Ensure that all new systems adhere to open standards for hardware, file formats and software.
  - 4. Shall review existing and new policies and procedures to ensure that forms developed for Department of Corrections use include the following:
    - a. Form Number

- b. Electronic Records code
  - c. Retention instructions.
- 5. Shall maintain the department's electronic records indexes, metadata and guidelines.
  - 6. Develop, implement and maintain electronic records access permissions.
  - 7. Develop and monitor policies on the retention of electronic mail, internet/ intranet logs and other access control records.
- C. Manager, Operations Center:
- 1. Apply measures to refresh physical storage media to guard against media degradation.
  - 2. Store the supporting application software and operating system with the archived media.
  - 3. Maintain Daily Backup logs for all records systems.
  - 4. Restrict "write" permissions on archived files and records.

## **REPORTS REQUIRED**

Daily Backup Logs

## **REFERENCES**

Government Records Preservation Act (KSA 45-401 – KSA 45-413)

Kansas Acts Against Discrimination (KSA 44-1001 et seq)

Open Records Act (KSA 45-215 – 45-223)

Public Records Act (KSA 75-3501 – KSA 75-3518)

Records made on Electronically-accessed Media; Authorization, Conditions and Procedures, Application, Notice to State Records Board (KSA 45-501)

Tampering with a Public Record (KSA 21-3821)

Telecommunications services of certain State agencies; extension to certain private, nonprofit agencies or governmental entities; records of services (KSA 75-4709).

General Records Retention and Disposition Schedule for State Agencies (KAR 53-3-1)

Records Officer (KAR 53-4-1)

Development of a Data Administration Program (ITEC Policy 8000)

Kansas State-wide Technical Architecture, Chapter 20  
Kansas Electronic Recordkeeping Strategy: A White Paper  
(<http://www.kshs.org/archives/ermwhite.htm>)

Kansas Electronic Records Management Guidelines  
(<http://www.kshs.org/archives/ermguide.htm>)

Kansas State Records Management Manual  
(<http://www.kshs.org/archives/tablemst.htm>)

## **ATTACHMENTS**

None.